

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	8763541
<b>Application Number:</b>	09685398
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	7911
<b>Title of Invention:</b>	SYSTEM AND METHOD FOR AUTOMATICALLY REBALANCING PORTFOLIOS BY SINGLE RESPONSE
<b>First Named Inventor/Applicant Name:</b>	James Richard Kraemer
<b>Customer Number:</b>	47121
<b>Filer:</b>	John Robert Pivnichny/Mary Worden
<b>Filer Authorized By:</b>	John Robert Pivnichny
<b>Attorney Docket Number:</b>	RSW9-2000-0107-US1
<b>Receipt Date:</b>	03-NOV-2010
<b>Filing Date:</b>	10-OCT-2000
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<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 180
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Deposit Account	090457
Authorized User	
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## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Information Disclosure Statement (IDS) Filed (5B/08)	RSW920000107US1_US1_Relate dIDS_11032010.pdf	613929 280798138d15e8035454166a616d1e991a b11e	no	8
<b>Warnings:</b>					
<b>Information:</b>					
2	Information Disclosure Statement (IDS) Filed (5B/08)	RSW920000107US1_IDS_State ment_11032010.pdf	11293 a0a1d5194c2d0d04fee62203fec58c1d51 8bae	no	1
<b>Warnings:</b>					
<b>Information:</b>					
This is not an USPTO supplied IDS fillable form					
3	NPL Documents	RSW920000107US1_Maurer_N PL.pdf	62272 7101bd66654802e0766df6c6ebdc9179 811ab	no	2
<b>Warnings:</b>					
<b>Information:</b>					
4	NPL Documents	RSW920000107US1_US1_Efficie nt_Frontier_NPL.pdf	4467259 daad719cab9dbcd1a0bd355d74cd9d994d8 056a0	no	5
<b>Warnings:</b>					
<b>Information:</b>					
5	NPL Documents	RSW920000107US1_US1_Moder n_Portfolio_Theory_NPL.pdf	3745959 6ab1cc18c40c1b1bab1490cad01de09c38c06 7b50b	no	4
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<b>Information:</b>					
6	NPL Documents	RSW920000107US1_Levitt_050 41999_NPL.pdf	95565 a1ba867d74ceb37254bdc313577486948f 6cb49	no	5
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7	NPL Documents	RSW920000107US1_Levitt_012 71999_NPL.pdf	22405 322b4045e6a3e7c579f570011d96b645a066 7935	no	2
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8	NPL Documents	Application_No_09460608_Off iceAction_10042002.pdf	378924 dc29f168ea4190235500806060b154ba002 a067	no	9

<b>Warnings:</b>					
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9	NPL Documents	Application_No_09460608_FinalOfficeAction_04082003.pdf	309765 22ca000ae99111adba39a6a6040f681ee7c8 803a8b	no	8
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10	NPL Documents	Application_No_09460608_OfficeAction_04052004.pdf	312436 b3fe1aa1d58579c234baeafab607ebc714c9 56ce9f	no	8
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11	NPL Documents	Application_No_09460608_FinalOfficeAction_11052004.pdf	269272 b318da50541arba023d2e8c28315404430c 9ba46d	no	7
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12	NPL Documents	Application_No_09460608_OfficeAction_03232006.pdf	232525 9181852015c3edB974ed3e446eb35570a2 d65f	no	6
<b>Warnings:</b>					
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13	NPL Documents	Application_No_09460608_FinalOfficeAction_09222006.pdf	240811 6a20418f8ae010123825a657eb1e8b24Hd8 1a0f	no	6
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14	NPL Documents	Application_No_09460608_OfficeAction_11192008.pdf	257821 ed19d670ea1a8f08a7856088bcecd4d5da 58f5ae	no	7
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15	NPL Documents	Application_No_09460608_NoticeOfAbandonment_062409.pdf	86381 0fa186c30c31eabae51c7f12299b135f57304 3c	no	2
<b>Warnings:</b>					
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16	NPL Documents	Application_No_09685838_NoFinal_Rejection_02122004.pdf	413798 afcaaf718f8fada0f060da2d4d4b34d197aeb5 a3d4d	no	11
<b>Warnings:</b>					
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17	NPL Documents	Application_No_09685838_NoFinal_Rejection_02102005.pdf	700456 315630acc0a2D0532070d1c4cafa0598a0f 58c4	no	14

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18	NPL Documents	Application_No_09685838_Final_Rejection_07052005.pdf	441850 08562a335d29d4ff9224180080bb9072c74a05c	no	9
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19	NPL Documents	Application_No_09685838_No_nfinal_Rejection_10232006.pdf	506452 2740c13b6b65551420c3c7b06d805f5a586f093f	no	10
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20	NPL Documents	Application_No_09685838_Final_Rejection_05022007.pdf	577790 5332bea01321ed6d72cbb488ef342b81764dab8	no	11
<b>Warnings:</b>					
<b>Information:</b>					
21	NPL Documents	Application_No_09685838_No_nfinal_Rejection_10172007.pdf	527683 d1db48d4426657392ae9526e42be89f5ee0c7808	no	11
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22	NPL Documents	Application_No_09685838_NO_A_05052008.pdf	537586 a30875d767d0f5e6d4db32055d8a495633c3868	no	10
<b>Warnings:</b>					
<b>Information:</b>					
23	Fee Worksheet (PTO-875)	fee-info.pdf	30648 06794899f5c26500c48d46a20c7d78c8d6655d	no	2
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<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			14842880		

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.